



**Matt Blunt**

Secretary of State

**State of Missouri**

Securities Division • 600 W. Main • PO Box 1276

Jefferson City, MO 65102

## Missouri Broker-Dealer Affidavit

I, \_\_\_\_\_, do hereby swear and affirm that I am a principal of \_\_\_\_\_ (“the applicant”) and do hereby represent on behalf of the applicant, after having thoroughly searched all applicable records that (check one box per item):

1. ☐ The applicant has made NO offers or sales of securities in the State of Missouri.  
  
☐ The applicant has made the following offers or sales in the State of Missouri (attach a list of the names, addresses, and telephone numbers of all Missouri clients; the dates and amounts of all trades; and the names and CRD numbers of all agents who transacted business in this state):
  
2. ☐ All owners, control persons, and control affiliates of the applicant are disclosed on the applicant’s Form BD.  
☐ The following owners, control persons, and/or control affiliates were not disclosed on the applicant’s Form BD:
  
3. ☐ All disciplinary matters required to be disclosed on Form BD have been disclosed on the applicant’s Form BD.  
☐ The following disciplinary matters to be disclosed on Form BD have not been disclosed:

Further affiant sayeth naught. \_\_\_\_\_  
By: Principal of Applicant

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
Notary Public My commission expires: \_\_\_\_\_